



RECORDS RETENTION SCHEDULE

DEPARTMENT OF INSURANCE

Schedule Date: June 1990



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

RECORDS RETENTION SCHEDULE

Signature Page

Department of Insurance
Agency

June 1990
Schedule Date

State Risk and Insurance Services
Unit

June 1990
Change Date

June 14, 1990
Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Elizabeth P. Wright
Agency Head

June 11, 1990
Date of Approval

Judy R. Maynard
Agency Records Officer

June 5, 1990
Date of Approval

Richard L. Reldin
State Archivist and Records Administrator
Director, Public Records Division

June 1, 1990
Date of Approval

[Signature]
Chairman, Archives and Records Commission

6/14/90
Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Kathy Gilliland
Records Analyst/Regional Administrator

June 1, 1990
Date of Approval

Jim W. Gault
Appraisal Archivist

6/13/90
Date of Approval

Richard Maser
State/Local Records Branch Manager

6/1/90
Date of Approval

The determination as set forth meets with my approval.

Leona C. Grubb for Port Babbage
Auditor of Public Accounts

6/12/90
Date of Approval

Department of Insurance

The Bureau of Insurance was established in the Office of Auditor of Public Accounts in 1870. The Auditor appointed the Insurance Commissioner. The Department of Insurance became a separate administrative department of state government in 1934 and the Governor appointed the Commissioner. In 1936, the Department became a division of the Department of Business Regulation. It became a department again when the Division of Insurance was removed from the Department of Business Regulation, in 1950.

KRS 304.2-010 establishes the Department of Insurance, and the powers of the Commissioner are set out in KRS 304.2-100. The duties of the Department include:

- administering Kentucky's insurance laws,
- regulating the conduct of insurance business,
- licensing agents and other company representatives,
- administering insurance taxes,
- operating the State Fire and Tornado Insurance Fund and otherwise procuring insurance for state agencies,
- licensing insurance adjusters,
- enforcing the insurance code,
- making regulations based on the Department's interpretation of the code,
- disapproving companies that engage in illegal or unethical insurance practices,
- and, periodically examining all insurance companies doing business in Kentucky, to determine their solvency.

The Department is comprised of the following: General Counsel; the Division of Administrative Services; the Division of Agent Licensing; the Division of Financial Standards and Examinations; the Division of Health Insurance Policy and Managed Care; the Division of Life; the Division of Property and Casualty; the Division of Risk and Insurance Services; the Division of Insurance Fraud Investigation; the Division of Consumer Protection and Education; and the Division of Kentucky Access. The Kentucky Health Care Authority, which was created in 2000, is attached to the Department, for administrative purposes.

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Administrative Services

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03567	General Correspondence	5	Destroy	
03568	Credit Memoranda (V)	I	Destroy five years after last entry denoting that all refunds in a booklet have been issued, and audit	
03569	Pay-In Voucher	2	Transfer to the State Records Center. Destroy after audit	3
03570	Inter-Account Bill	2	Transfer to the State Records Center. Destroy after audit	3
03571	Central Stores Order/Voucher	2	Transfer to the State Records Center. Destroy after audit	3
03572	Out-of-State Travel Authorization	2	Transfer to the State Records Center. Destroy after audit	3
03573	Travel Voucher	2	Transfer to the State Records Center. Destroy after audit	3
03574	Warrant on the State Treasurer	2	Transfer to the State Records Center. Destroy after audit	3
03576	Special Payroll Voucher	5	Destroy after audit	

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RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Administrative Services

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03577	Supplemental Payroll Voucher	2	Transfer to the State Records Center. Destroy after audit	3
03578	Uniform Personnel/Payroll System Reports - Audited - (UPPS Printout)	2	Transfer to the State Records Center. Destroy after audit	3
03579	Time and Attendance Reports	2	Transfer to the State Records Center. Destroy after audit	3
03580	Payroll Deduction Report 151 - (UPPS Printout)	2	Transfer to the State Records Center. Destroy after audit	3
03581	Federal, State, City Withholding-Quarterly Report - (UPPS System)	2	Transfer to the State Records Center. Destroy after audit	3
03582	Bond Requisition Register - (UPPS System)	2	Transfer to the State Records Center. Destroy after audit	3
03583	Personal Service Contract File (V)	2	Transfer to the State Records Center. Destroy after audit	3
03584	Purchase Contract	2	Transfer to the State Records Center. Destroy after audit	3

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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Administrative Services

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Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03585	Purchase Order Authorization for Payment	2	Transfer to the State Records Center. Destroy after audit	3
03588	Examiner's Personnel File (C) KRS 61.878 (1) (a)	2	Transfer to the State Records Center. Destroy after audit	3
03589	Billings of Examiner's to Insurance Companies	2	Transfer to the State Records Center. Destroy after audit	3
03590	General Ledger System (GLS) (V)	5	Purge inactive data to magnetic tape. Delete after five years and audit	
03591	Daily Receipt Ledger - (GLS Printout)	I	Destroy five years after all transactions are complete and audit	
03705	Journal Voucher Change Date: 9/13/90	2	Transfer to the State Records Center. Destroy after audit	3
03706	Request and Authorization for Refund Change Date: 9/13/90 (V)	2	Transfer to the State Records Center. Destroy after audit	3
03707	Imprest Cash File Change Date: 9/13/90	2	Transfer to the State Records Center. Destroy after audit	3

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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
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Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03708	Finance Closing Package Change Date: 9/13/90	5	Destroy after audit	
03709	Outstanding Encumbrance Report - (STARS Printout) Change Date: 9/13/90	2	Transfer to the State Records Center. Destroy after audit	3
03710	Printing Order Change Date: 9/13/90	2	Transfer to the State Records Center. Destroy after audit	3
03711	Expenditure Reports - (STARS Printout) Change Date: 9/13/90	2	Transfer to the State Records Center. Destroy after audit	3

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Financial Standards and Examination

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03424	Annual Statements of Domestic Insurance Companies	5	Transfer to the State Archives Center	P
03425	Domestic Supplemental Filings	5	Transfer to the State Archives Center	P
03426	Annual Statements of Foreign Insurance Companies	1	Transfer to the State Records Center	4
03427	Foreign Supplemental Filings	1	Transfer to the State Records Center	4
03428	Domestic Company Examination Report (C) KRS 304.2-270, General comments only	8	Transfer to the State Records Center	12
03429	Foreign Company Examination Report	8	Transfer to the State Records Center	4
03430	Examination Work Papers - (Insurance company examiner's working file) (C) KRS 304.2-270 Change Date: 3/14/96 (V)	3	Transfer to the State Records Center	3
03431	Charter File - Domestic Insurance company Administrative Change Date: 9/11/97 Removing reference to holding companies (V)	I	Transfer to the State Archives Center five years after withdrawal of a company	P
04152	Charter File - Foreign Insurance Company - (Company's home base is other than Kentucky) Change Date: 9/1/92 (V)	I	Transfer to the State Records Center two years after withdrawal of a company	3

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RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Financial Standards and Examination

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
04545	Insurer Rehabilitation/Liquidation File (C) KRS 61.878 (1) (a); Kentucky Rule of Evidence 503 Change Date: 3/8/01	1	Transfer to the State Records Center. Destroy after case closure and all appeals have been exhausted	24
03432	Advisory Organization Registration File	I	Transfer to the State Records Center one year after becoming withdrawn	4
03433	Certificate of Authority (V)	I	Transfer to the State Records Center ten years after withdrawal or merger of a company	15
03434	Deposits of Securities	I	Transfer to the State Records Center five years after closure of account	3
03435	Card File on Mergers and Withdrawals	P	Retain in agency	
04657	Holding Company Files (C) KRS 304.37-050 Financial information Change Date: 9/11/97	P	Retain in agency	

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RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Agent Licensing

Schedule Date: June 14, 1990

Series No.	Record Title and Description		Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03084	Company Files	(V)	3	Transfer to the State Records Center for two years, then transfer to the State Archives Center	P
03085	Surplus Lines Brokers File	(V)	I	Retain in agency or transfer to the State Records Center until activity decreases, then transfer to the State Archives Center	P
03086	Adjusters Files	(V)	I	Retain in agency or transfer to the State Records Center until activity decreases, then transfer to the State Archives Center	P
03087	Staff Adjuster File	(V)	I	Retain in agency or transfer to the State Records Center until activity decreases, then transfer to the State Archives Center	P

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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Agent Licensing

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Series No.	Record Title and Description		Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03088	Solicitors Files	(V)	I	Retain in agency or transfer to the State Records Center until activity decreases, then transfer to the State Archives Center	P
03089	Corporation Files	(V)	I	Retain in agency or transfer to the State Records Center until activity decreases, then transfer to the State Archives Center	P
03090	Financial Responsibility File	(V)	I	Retain in agency or transfer to the State Records Center until activity decreases, then transfer to the State Archives Center	P
03091	Answer Sheet File	(V)	1	Transfer to the State Records Center	4
03092	Passed Exam Results	(V)	2	Transfer to the State Records Center	3
03093	Agent Termination File 304.9-280 (2)	(C) KRS	2	Transfer to the State Records Center	3
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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Agent Licensing

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Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
04038	Consultant File Change Date: 9/12/91	I	Transfer to the State Records Center one year after consultant becomes inactive	9
03094	General Correspondence Change Date: 9/12/91	2	Transfer to the State Records Center	3
03095	Index of Tables for Agent Licensing System - (Electronic) (V)	P	Retain in agency	
03096	Examination Pending File (ALS Printout) (V)	I	Update as changes to the file occur. Purge inactive files after two years	
03097	Examination Pending Purge File (ALS Printout)	I	Update as changes occur. Purge inactive files after two years	
03098	Examination Analyzing File (ALS Printout)	I	Update file as changes occur. Purge inactive files after two years	
03099	Agent Insurance Master File (Part I) - (ALS) (Electronic)	I	Update as changes occur. Purge inactive files after two years	
03100	Agent Insurance Master File (Part II) - (ALS) (Electronic)	I	Update as changes occur. Purge inactive files after two years	

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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
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Agent Licensing

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Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03101	Financial Responsibility Master File - (ALS) (Electronic)	I	Update as changes occur. Purge inactive files after two years	
03102	Agent to Company Cross-Reference File - (ALS) (Electronic)	I	Update as changes occur. Purge inactive files after two years	
03103	Sponsor to Solicitor Company Cross-Reference File - (ALS) (Electronic)	I	Update as changes occur. Purge inactive files after two years	
03104	Corporation Master File - (ALS) (Electronic)	I	Update as changes occur. Purge inactive files after two years	
03105	Agent to Corporation Cross-Reference File - (ALS) (Electronic)	I	Update as changes occur. Purge inactive files after two years	
03620	Agency Survey File - (Investigation Reports)	1	Transfer to the State Records Center. Destroy after audit	4
03698	License Renewals of Adjusters - (Pre-1984) Closed Date: 12/1/83	0	Transfer to the State Records Center. Destroy after audit	10

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Public Protection and Regulation
Insurance
Agent Licensing

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Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03699	Annual License Renewals - (Non-resident license renewals-general lines) - (Pre-1984) Closed Date: 12/1/83	5	Transfer to the State Records Center. Destroy after audit	5
04178	Certificate of Completion File Change Date: 12/13/92 (V)	1	Transfer to the State Records Center. Destroy after audit	4
04179	Provider File Change Date: 12/13/92	I	Transfer to the State Records Center one year after non-renewal of application. Destroy after audit	4

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Property and Casualty

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03126	Bureau Files - (Documents rating organizations, advisory organizations, re-insurers) (V)	P	Retain in agency	
03127	Company Filings - (Documents forms policies, modifications and conditions of rates) (V)	P	Retain in agency	
03128	Surplus Lines Filings Administrative Change Date: 9/14/00 - To update disposition instructions (V)	2	Transfer to the State Records Center. Destroy after audit	3
03129	Surplus Lines Annual Statements Administrative Change Date: 9/14/00 - To update disposition instructions	1	Transfer to the State Records Center. Destroy after audit	4
04995	Surplus Lines Miscellaneous Correspondence Change Date: 9/14/00	2	Transfer to the State Records Center	3
03130	Consent-to-Rate Filings - (Individual companies)	2	Transfer to the State Records Center	3
03131	No-Fault Rejection Form (V)	P	Retain in agency	
03132	No-Fault Rejection Data Base (Electronic)	I	Update as changes occur	
03133	No-Fault Verification Request	P	Retain in agency	
03134	Declaration of Compliance - (By company) (V)	P	Retain in agency	
03136	Settlements and/or Judgments Rendered Against Health Providers - (Medical malpractice files) (V)	P	Retain in agency	
03137	Medical Malpractice Report	10	Destroy	
03138	General Correspondence	5	Destroy	

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RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Property and Casualty

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03139	Consumer Information System Statistics	5	Destroy	
04122	Closed Claim File - Bodily Injury (C) KRS 304.3-245(4) - Individual bodily injury claim Change Date: 3/12/92	5	Destroy	
04401	Workers' Compensation Statistical Report File Change Date: 6/9/94	5	Destroy	

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Life

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03234	Company Policy Forms and Rates Filings Administrative Change Date: 2/2/01 To reflect organizational change (V)	50	Destroy after audit	
03236	Agent Training Programs and Instructors Administrative Change Date: 2/2/01 To reflect organizational change	I	Destroy when obsolete	
03238	Orders of Disapproval Administrative Change Date: 2/2/01 To reflect organizational change (V)	50	Destroy	

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Health Insurance Policy and Managed Care

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
05004	Company Policy Forms and Rates Filings Administrative Change Date: 2/2/01 To reflect organizational change (V)	50	Destroy after audit	
03235	Maintenance Organization Form and Rate Filings Administrative Change Date: 2/2/01 To reflect organizational change (V)	50	Destroy after audit	
05005	Agent Training Programs and Instructors Administrative Change Date: 2/2/01 To reflect organizational change	I	Destroy when obsolete	
03237	Self-Funded Health Plans Administrative Change Date: 2/2/01 To reflect organizational change (V)	I	Destroy when obsolete	
03239	Deferred Compensation Program Closed Date: 1/1/88 Administrative Change Date: 2/2/01 To reflect organizational change	6	Destroy	
05013	Kentucky Health Insurance Market Research Records (C) Ky. Rule of Evidence 503 Change Date: 6/14/01	1	Transfer state publications, reports and minutes to the State Archives Center. Destroy balance of file	14
05331	Utilization Review and Independent Review Entity File Change Date: 3/14/02	1	Transfer to the State Records Center	5

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
General Counsel

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03350	Motor Vehicle Self Insurance Quarterly Claim Report	1	Transfer to the State Records Center	4
03351	Municipal Tax Ordinances	P	Retain in agency	
03352	Municipal Premium Tax Schedule (V)	5	Destroy	
03353	Kentucky Municipal Premium Tax Filings Report	5	Destroy	
03356	Order Books	P	Retain in agency	
03358	Attorney Case File (C) KRS 61.878 (1)(a)(i)(j) (V)	I	Transfer to the State Records Center one year after case is closed	4
03359	Department Hearing File (V)	I	Transfer to the State Records Center one year after case is closed	24
03360	Coded Agent File (V)	I	Transfer to the State Records Center five years after case is closed	45
03361	Attorney Court Litigation File (C) KRS 61.878 (1) (i) (j)	I	Transfer to the State Records Center one year after case is closed	9
03362	Beverly Hills Supper Club Fire Litigation File Closed Date: 1/1/88	0	Transfer to the State Archives Center	P

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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
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Public Protection and Regulation
Insurance
General Counsel

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Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03363	Legislative and Regulation Research File (C) KRS 61.878 (1)(i)(j) (V)	I	Transfer to the State Records Center one year after legislation and regulations are no longer subject to legal challenge and the need for interpretation has diminished	9
03364	General Correspondence	5	Destroy	
03365	Reference and Informational Material	5	Destroy	
03420	U. S. Grand Jury Investigation File Closed Date: 12/1/83	0	Transfer to the State Archives Center	P
03492	Johnson Bonding Company, Inc. Litigation File - Bail Bondsmen (V)	I	Transfer to the State Archives Center one year after closure of litigation file	P
03700	Master File - Bail Bondsmen Closed Date: 6/1/76	0	Transfer to the State Archives Center	P
03701	Judgments - Bail Bondsmen Closed Date: 6/1/76	0	Transfer to the State Archives Center. Destroy upon approval of the State Archivist	I

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STATE ARCHIVES AND RECORDS COMMISSION
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Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03617	Complaint/Enforcement System - (Electronic) (C) KRS 61.878 (1)(a)(i)(j)	I	Delete information six months after closure of the appropriate case file	
03618	Municipal Tax System - (Electronic)	3	Delete records older than three years	
03619	Detail Premium Tax Report by Company/City/County - (MTS Printout)	5	Destroy	

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
State Risk and Insurance Services

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03660	Appraisal File (V)	I	Transfer to the State Archives Center six years after last appraisal	P
03661	State Fire and Tornado Work File (V)	5	Destroy after audit	
03662	State Fire and Tornado Schedules - (SRISS Printout)	2	Transfer to the State Records Center. Destroy after audit	3
03663	Commercial Policy - Except Liability File (V)	3	Transfer to the State Records Center. Destroy after audit	2
03664	Commercial Liability Policy File (V)	5	Transfer to the State Records Center. Destroy after audit	45
03665	State Fire and Tornado Reinsurance Policy File (V)	5	Transfer to the State Records Center. Destroy after audit	45
03666	State Fire and Tornado Insurance Fund Ledger - (SRISS Printout)	10	Transfer to the State Records Center. Destroy after audit	15
03667	Bid Specification File for Insurance Policies	6	Destroy	
03668	State Properties Specific Rate File	5	Destroy	
03669	State Risk and Insurance Services System - (SRISS) (Electronic)	5	Delete entries that are older than five years	

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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
State Risk and Insurance Services

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03670	State Risk Claims File (V)	I	Transfer to the State Records Center two years after claim is settled	3
04385	Mine Subsidence Claim File Change Date: 6/10/94 (V)	I	Transfer to the State Records Center three years after closure of claim	47
05341	Fire and Tornado Underwriting File Change Date: 6/13/02	4	Transfer to the State Records Center. Destroy after audit	11

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Consumer Protection and Education

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03354	Market Conduct Examination Work Papers (C) KRS 61.878 (1)(i)(j) Administrative Change Date: 11/20/98 To move series to Consumer Division	3 mo	Transfer to the State Records Center	4yr/9mos.
03355	Market Conduct Examination Report File Administrative Change Date: 11/20/98 To move series to Consumer Division	1	Transfer to the State Records Center	4
03357	Policyholder Service Complaint File (C) KRS 61.878 (1)(a)(i)(j) Administrative Change Date: 11/20/98 To move series to Consumer Division (V)	I	Transfer to the State Records Center one year after case is closed	4

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Public Protection and Regulation
Insurance
Insurance Fraud Investigation

Schedule Date: June 14, 1990

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
04872	Case Referral File (C) KRS 304.47-060 (4); KRS 61.878 (1)(h)(i)(j)(k) Change Date: 9/9/99	I	Destroy referrals that do not result in an investigation after twenty years	
04873	Investigative Case File (C) KRS 61.878 (1)(h)(i)(j)(k) Change Date: 9/9/99 (V)	I	Transfer to the State Records Center five years after case closure, and all appeals have been exhausted	20
04874	Evidence File - (Contains other than documentary materials) (C) KRS 61.878 (1)(h)(i)(j)(k) Change Date: 9/9/99 (V)	I	Destroy five years after final disposition of case, and when no longer needed for litigation or other administrative purposes	
04875	Special Investigative Unit Plan File - (Plans are submitted by insurance companies per 806 KAR 47:030) Change Date: 9/9/99	I	Maintain current plans. Destroy previous plans when superseded	